



STATE OF CALIFORNIA
DEPARTMENT OF TRANSPORTATION
DIVISION OF LOCAL ASSISTANCE
Office of Guidance and Oversight

Construction Oversight Program
PERFORMANCE MEASURES #17-02

FINAL REPORT
August 2017





It should be acknowledged that this report was prepared by the Construction Oversight Program team under the Office of Guidance & Oversight, with the support of Caltrans Division of Local Assistance and its staff. The team consists of as follows:

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I. Executive Summary

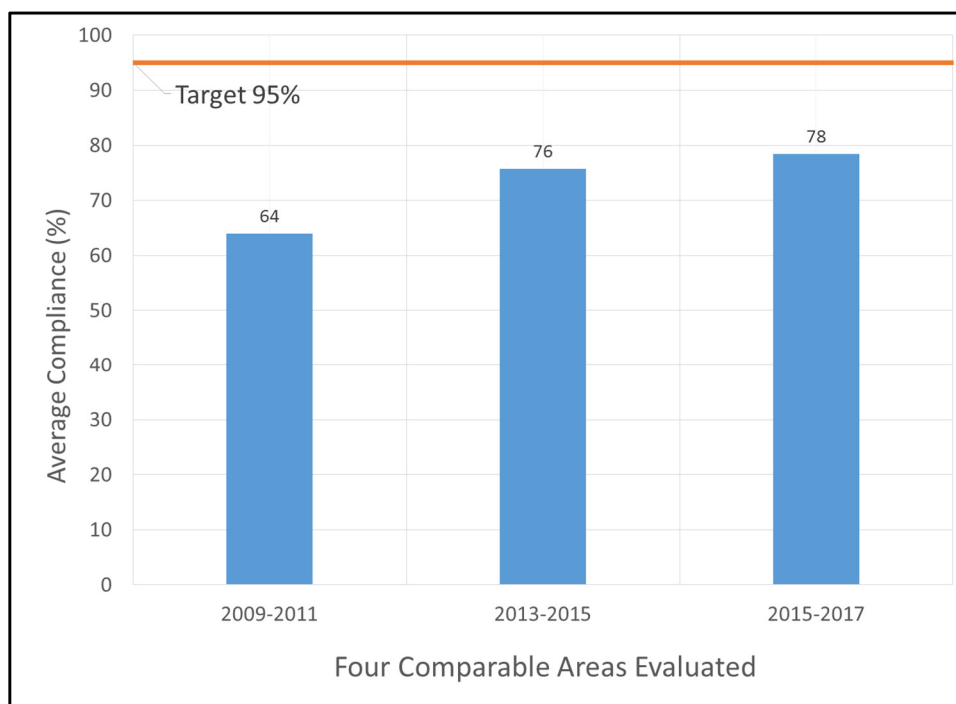
This performance measures report by the California Department of Transportation (Caltrans) – Division of Local Assistance (DLA)’s Construction Oversight Program covers the period of July 1, 2015 through June 30, 2017.

It chronicles the Construction Oversight Engineer (COE) reviews and discusses the review findings and trends as compared to the previous 2012-2015 report, ‘Executive Summary, Construction Oversight of Local Agency Federal-Aid Projects’ dated October 2015, and details other tasks that COEs perform as part of their roles in the Local Assistance Program.

In order to assure compliance with federal and state requirements, the DLA recently conducted a performance measures review of construction projects being administered by local agencies. There are 11 specific areas included in this review, of which four are the same areas measured in the previous reviews, and used as a baseline in this report. The evaluations in this report are conducted on the data which were reported by either COEs or DLA Construction Oversight Program staff using ‘Checklist’ forms for three types of construction reviews, namely, ‘Pre-Construction’, ‘Mid-Construction’, and ‘Post-Construction’. The review was performed depending on the status of the construction project at the time of review. In total, 398 checklists were evaluated in this report.

Chart 1 below reveals that the overall compliance found for the 4 comparable areas measured in 2017 is 78%. Because this is just a marginal improvement (2% increase) compared to the previous measurements, continuous efforts should be made to reach the ultimate program goal of a 95% compliance rate by implementing the recommendations suggested in this report and developing a comprehensive strategic plan for the Construction Oversight Program.

Chart 1: Overall Average Compliance of Performance Measures





II. Process Review

A. Background

Beginning with the 2009 American Recovery and Reinvestment Act (ARRA) timeframe, the Caltrans Local Assistance Construction Oversight Program is now in its 5th year of implementation.

The program now employs seven Construction Oversight Engineers (COEs) that cover the entire State. The assigned areas for the COEs are shown in Attachment A. One of the primary roles of these COEs is to conduct reviews of construction projects being administered by local agencies in order to assure conformance with federal requirements, and also to educate local agency staff and management on how to properly administer and manage these projects going forward.

Caltrans DLA conducted a process review to establish a baseline of compliance and areas for improvement, as reported in 'Executive Summary, Construction Oversight of Local Agency Federal-Aid Projects' dated October 2015. The documentation (i.e., Checklists) related to the construction activities was collected and analyzed for the local agencies' compliance during the construction phases of their federal-aid projects. The data represented here in this report are collected from all the federal-aid projects throughout the state for the time frame between July 2015 and June 2017. The analyzed results were compared with the results from the previous reviews and discussed later in this report.

B. Process Review Goals and Methodology

The primary goal of this process review was to measure the effectiveness of the Construction Oversight Program by providing guidance, oversight, and outreach to the local agencies. The outcome of these efforts is expected to reduce deficiencies in complying with federal and state regulations during the construction phase of the federal-aid projects. The goal of the Construction Oversight Program for 2017 is to reach 85% compliance for the 11 areas reviewed with an ultimate goal of 95% compliance. The specific questions for each review area can be found in Attachment B.

These reviews were performed either at the 'Pre-Construction', 'Mid-Construction', or 'Post-Construction' review period, depending upon the status of the project at the time of the reviews. The attachments for the latest versions of each Checklist are presented later in this report.

The number of checklists reviewed over the July 1, 2015 to June 30, 2017 time period is listed in Table 1 by each type of construction review and district. Also, included in the table are the numbers of projects evaluated for the same evaluation period.

Table 1: Number of Checklists/Projects Reviewed between July 2015 and June 2017

District	Type of Construction Review			Total	No. of Projects Evaluated by District
	Pre-Construction	Mid-Construction	Post-Construction		
01	4	6	11	21	18
02	11	2	11	24	17
03	16	12	21	49	38
04	71	56	29	157	88
05	7	7	4	18	15
06	1	7	1	9	9
07	27	19	16	62	34
08	10	5	2	17	15
09	0	0	0	0	0
10	2	2	0	4	4
11	1	2	3	6	3
12	15	13	3	31	24
Total	166	131	101	398	265
No. of Projects	152	58	55	265	

C. Process Review Analysis

The reviews consist of going over a 'Review Checklist' in detail and verifying that the project's construction files contain the proper documentation. The specific areas of interest for this review were selectively chosen from the Review Checklists to align with Federal Highway Administration (FHWA)'s Construction Program Analysis and Risk Assessment of the Construction Program Report. The areas selected and evaluated were:

1. Daily Diaries/Reports
2. Quality Assurance/Materials Testing
3. Contract Change Orders (CCOs)
4. Progress Payment Support
5. Bid Evaluation
6. Form FHWA 1273
7. Sole Source Items
8. Contract Time
9. Subcontracting Request
10. Project Staff/Emergency Contact Sheet
11. Labor Compliance

Four Comparable Areas Evaluated

Seven Additional Areas Evaluated

The first four review areas (1-4) were identified by the Office of Inspector General (OIG) as deficient areas in their July 2011 report. These four areas were also evaluated in this 2015-2017 process review and compared to the previous reviews while the rest of the areas were evaluated in this review for the first time. The newly evaluated areas (5-11) will serve as a first year baseline for the future

performance measures. The following two charts depict the analysis of these reviews in terms of compliance rate for each evaluated area in percentage.

Chart 2: Performance Measures for the Comparable Areas to Previous Reviews

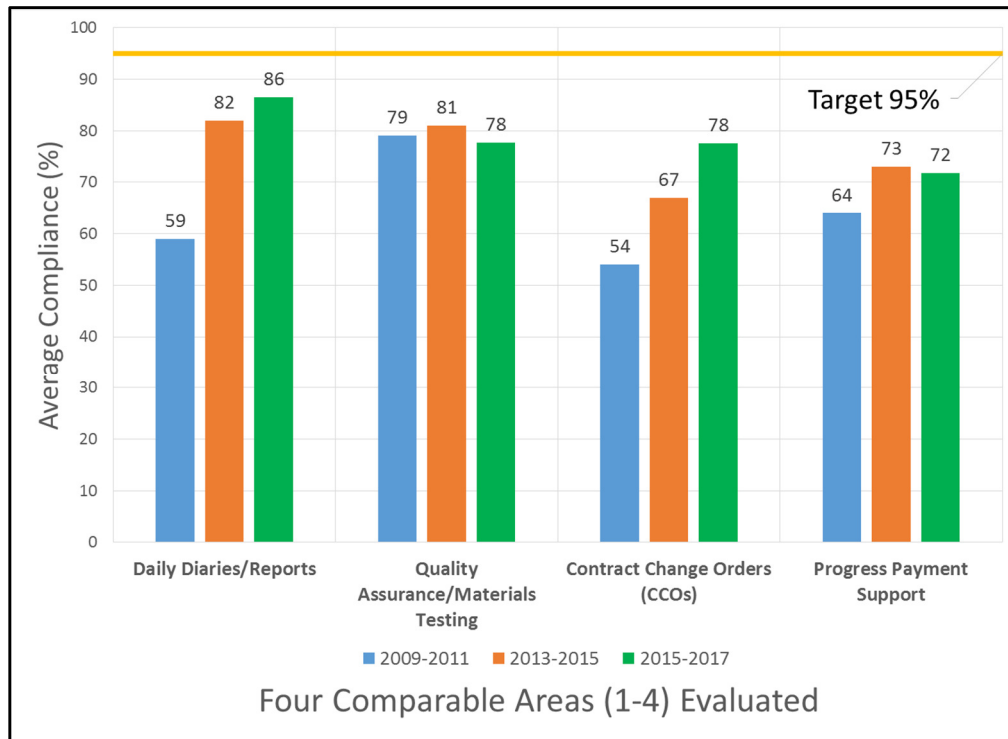
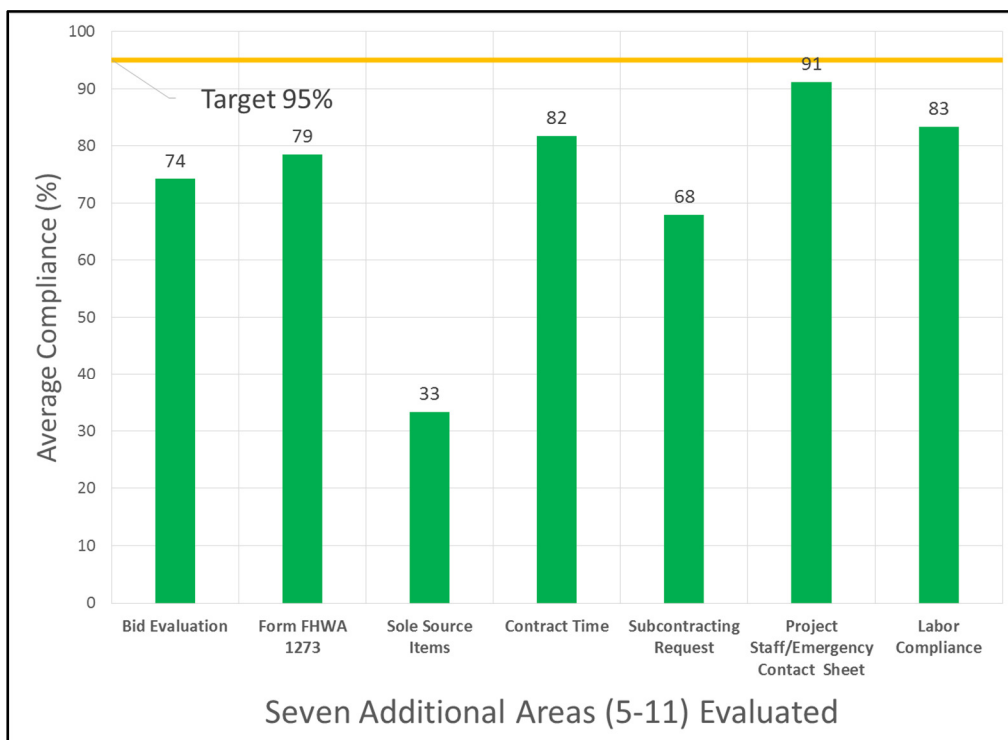


Chart 3: Performance Measures for the Additional Areas Reviewed for the First Time



The overall compliance rate for all 11 areas evaluated was found to be 77% and shown in Chart 4.

Chart 4: Overall Compliance Rate for All 11 Areas Evaluated in 2015-2017

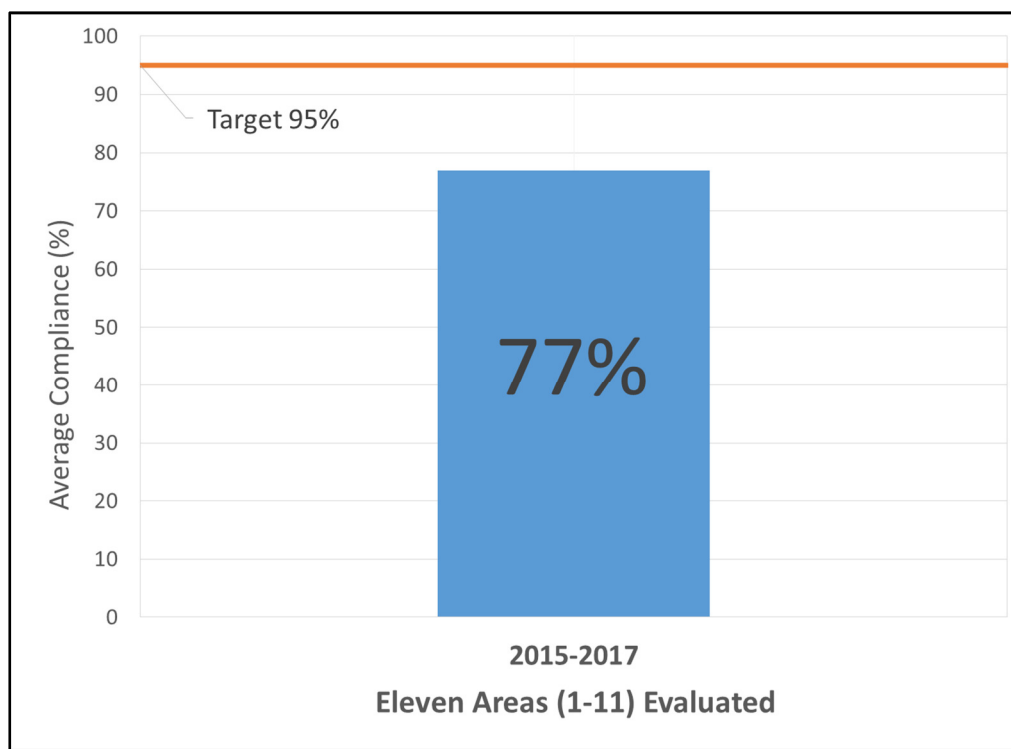


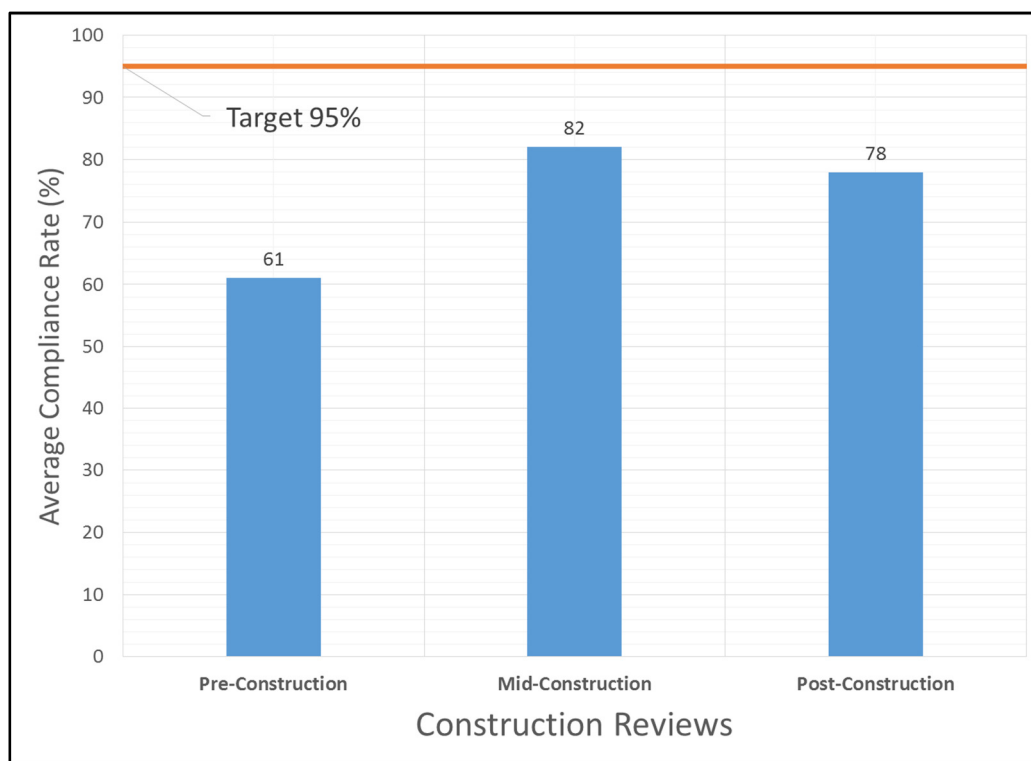
Table 2 shows the compliance rates of the reviewed areas for 2015-2017. Shown to the right of each item is the average compliance percentage by each reviewed area, and to the bottom of the table is the average compliance rate by each type of construction review. These compliance rates were calculated by dividing the number of checklists in compliance for a specific area reviewed by the total number of the checklists reviewed for the specific area. Two previous reports measured only the first four areas. Seven more areas were added in this review to get a total of 11 areas that are considered important for the Construction Oversight Program. As stated, the 2015-2017 review mirrored the same questions (Areas 1-4) from the previous reviews in order to perform a quantitative analysis and to measure the effectiveness of previous enhanced guidance, oversight, and outreach efforts.

Table 2: Average Compliance Rates for 2015-2017

Area No	Area Evaluated	Type of Construction Review			Average Compliance Rate by Area (%)
		Pre-Construction	Mid-Construction	Post-Construction	
1	Daily Diaries/Reports	N/A	90.1	82.8	86
2	Quality Assurance/Materials Testing	N/A	79.8	75.5	78
3	Contract Change Orders (CCOs)	N/A	81.0	74.1	78
4	Progress Payment Support	N/A	72.0	71.6	72
5	Bid Evaluation	74.2	N/A	N/A	74
6	Form FHWA 1273	75.3	81.3	79.0	79
7	Sole Source Items	33.3	N/A	N/A	33
8	Contract Time	N/A	84.5	78.9	82
9	Subcontracting Request	N/A	69.2	66.7	68
10	Project Staff/Emergency Contact Sheet	N/A	94.3	87.9	91
11	Labor Compliance	N/A	86.0	80.7	83
Average Compliance Rate by Type of Construction Review (%)		61	82	78	

It is worthwhile to note that not all of the areas were measured for each type of construction review due to their relative nature of the work during the construction period reviewed. For example, Areas 5-7 are only categorical interests that are suitable and included for the 'Pre-Construction' review period. Likewise, Areas 5 and 7 are excluded from the analysis for the 'Mid-' and 'Post-Construction' review periods. The only review area that covers all the construction periods is Area 6, 'Form FHWA 1273'.

Based on the analysis for 2015-2017 review period, examined were not only the compliance rates for the review areas, but also the compliance rates for the types of construction reviews. Chart 5 below indicates the average compliance of each type of construction review, and reveals that the compliance rate hits the highest (82%) for the 'Mid-Construction' review, and then declines for the 'Post-Construction' (78%). In every review area, the similar differences were also observed as the compliance rate declines from 'Mid-Construction' to 'Post-Construction' period. This observation was evaluated. Considering the identical questions asked for both 'Mid-' and 'Post-Construction' reviews, it was expected that the compliance rates would be alike. However, both reviews were not necessarily conducted on the same projects in that some projects were reviewed for 'Mid-Construction' only and some for 'Post-Construction' only. The projects that were reviewed for both types of construction reviews were estimated to be less than 30%. This fact indicates that the difference shouldn't be recognized as a declining trend between these reviews, but understood as a statistical variance. The standard deviations of these reviews also affirm this argument because the difference between two compliance rates (4.5%) is within the standard deviations for the review periods (8.0 and 6.3 for 'Mid-' and 'Post-Construction' period, respectively).

Chart 5: Compliance Rates for Types of Construction Reviews in 2015-2017

A comprehensive plan for 2017-2018 will be addressed in the recommendation section of this report to accomplish a minimum 85% compliance for each individual 11 areas, which will also be expanded to address deficiencies in other areas of importance and consider the overall compliance per Construction Review Period and per District. This information will help refine the training and outreach to focus on critical areas needing improvements.

D. Observations

A brief discussion on the notes and observations pertaining to the issues causing the local agency to be out of compliance with quantitative findings in Charts 2 and 3, and Table 2 are highlighted below.

Area 1 Daily Diaries/Reports

- A weakness on documenting a project via the Resident Engineer (RE) and inspectors' diaries has been noticeable through COE's Mid-/Post-Construction reviews. The importance of good diaries cannot be overstated. Diaries serve as the foundation for proper contract administration by providing a history of how the project was constructed.
- A particular area of interest has been the narratives of the diaries that require documentation of facts and work related events, which occurred during the project.
- Previously, this was the area with the greatest improvement from the ARRA (or 2009-2011) to the Post ARRA (or 2013-2015) period. And a positive improvement is still observed for this review period, which meets the minimum goal of compliance at 85%.

- The positive trend observed for this review area was believed to benefit from the COE's continuous efforts in issuing guidance and educating local agencies of the importance of daily diaries/reports.
- Considering its importance, it is recommended to continue to discuss daily diaries/reports prominently in the future reviews and provide even greater emphasis at the training courses such as the RE Academy and Federal-Aid Series.

Area 2 Quality Assurance/Materials Testing

- Many local agencies have difficulty with monitoring required material sampling and testing frequencies. Ensuring that materials meet contract specifications is one of the most important contract administration functions.
- Of the four comparable areas reviewed, this is the area of least (or negative) improvement from the ARRA to the current review period (from 79% to 78%).
- It is observed that the vast majority of local agencies are not equipped with their own in-house materials laboratory, and thus utilize consultant materials testing firms. The problem is that the local agencies tend to delegate all aspects of the materials testing to the consultants without a full understanding of the QC/QA concepts.
- It is believed that a continuous update to the Quality Assurance Program (QAP) manual will pose a positive impact on this review area in the future. All local agencies should use a QAP for their transportation projects, regardless of whether the project has federal-aid funds or only local agency funds. A QAP ensures that the materials and the associated workmanship incorporated into a project are in conformance with the contract specifications.

Area 3 Contract Change Orders (CCOs)

- A Contract Change Order (CCO) is a document that alters the terms of the construction contract. As such, many of these CCOs result in additional payment to the contractor. The timely preparation and final approval of CCOs by the project owner (local agency) is critical to minimize actual project delays.
- Based on this review, this is an area with the greatest amount of improvement observed. The 2015 review found 67% compliance with this review noting a 11% increase in compliance.
- Although the percent compliance was the lowest of the four comparable areas for 2013-2015 period, the most improvement for this review period was made, and it is believed due to the local agencies' better understanding on overall justification, the method of payment, the independent cost analysis, quality, and implementation of CCOs.
- Even with such a great improvement, the weakest part of this area was found to be the payment methods and its supporting records assisting in the establishment of agreed prices for CCOs.
- It should be noted that the COEs are receiving more requests to review CCOs, and thus are becoming more involved in the issues related to CCOs.

Area 4 Progress Payment Support

- One area of major interest in contract administration pertains to support documentation for payments. Chapter 16 of the Local Assistance Procedures Manual (LAPM) also notes that local agencies' own processes and procedures meet or exceed

the minimum requirements. Failure to meet the cost accounting requirements can lead to loss of federal funds.

- Compared to the previous review, a decrease in compliance has been observed for this review area. And the percent compliance is the lowest of the four comparable areas.
- The main challenge is identified to prepare quantity calculation sheets to support progress payments made to the contractors.
- This review area will be an area of increased training emphasis, and may even spawn its own separate training course.

Area 5 Bid Evaluation

- The administering local agency should conduct a bid evaluation for each project. A proper bid evaluation better ensures that funds are being used in the most effective manner.
- This area has been flagged by FHWA as a frequent deficiency. Agencies are required to analyze bids before award to determine if the lowest bidder is responsible and responsive.
- This review area is performed during a pre-construction period to check if the local agency conducts, documents, and files a bid analysis prior to project award. The compliance rate has low performance, which indicates that the agencies tend to neglect the importance of this evaluation.
- Through training and reviews this area should be a focus of interest during the pre-construction phase.

Area 6 Form FHWA 1273

- Based on DLA COIN #15-04, issued on November 10, 2015, a number of recent and ongoing FHWA Compliance Assessment Program (CAP) audits/reviews emphasized inclusion of Form FHWA 1273, which is required by 23 CFR 633.102. In addition, Chapter 12 of the LAPM notes that failure to include the form in the construction contract and subcontracts as an “unrecoverable project deficiency and shall make the construction phase of the project ineligible for federal reimbursement.”
- Among all the reviewed areas in this report, this is the only area that covers all three construction review periods.
- A primary intent of this evaluation is to see if the contract provisions form (Form FHWA 1273) is physically included in the signed/executed construction contract and subcontracts. And about 78% of the compliance rate was observed for the area with a minor fluctuation among the types of construction review.

Area 7 Sole Source Items

- Per 23 CFR 172.7(a)(3), procurement by noncompetitive proposals may be used only when the award of a contract is infeasible under small purchase procedures, sealed bids or competitive proposals.
- This review area applies only to pre-construction reviews. And this area is found to be at the lowest compliance rate among all the review areas.
- A main cause of this deficiency was found that the local agencies did not include a public interest finding (PIF) in the project records covering each sole source item.

- Due to the lowest performance rate, the significant improvement should be sought to meet the current set goal (85%) and eventually the ultimate goal (95%). Intensive training and direct assistance on the issue may help the local agencies understand the importance of the area and improve the conforming rate.

Area 8 Contract Time

- It has been indicated that some local agencies struggle with proper administration of contract time. As a consequence, poor contract time administration can result in contractor claims against the local agency.
- A major reason for this review area was to investigate if a construction project is finished on time as planned in a prime contract.
- The compliance rates for the past reviews of this area (70% and 88%, respectively for 2009-2011 and 2013-2015) have been reported from the previous evaluation in 2015 aside from the four OIG deficient areas referenced above. While getting close to the current goal of 85%, a decrease in compliance (-6%) was observed.
- Some specific/common areas of non-compliance were:
 - Controlling operation of work noted on the WSWD.
 - Contract overrun of original number of days.
 - Lack of justification and backup documentation for CCO time extension.

Area 9 Subcontracting Request

- Chapter 16 of the LAPM states that the contractor must request permission in writing and receive written consent from the local agency before subletting any portion of a contract to a first tier subcontractor.
- This area is found to be at the second lowest compliance rate among the whole review areas. Submission and approval of the subcontracting request form should be carried out respectively, by a prime contractor and a resident engineer. Neglecting the importance of the approval process of the request form is regarded as a key reason for the non-compliance.
- Certainly, this review area should be one of the focused areas for the improvement in the future. In-depth review and training emphasizing the importance of this form-approval process will contribute to overall improvement of the agencies' competence to ensure quality construction of a federal-aid project.
- Compliance with this area will help Area 6 (Form FHWA 1273) to be in compliance in the subcontracts since subcontracting form has a disclaimer.

Area 10 Project Staff/Emergency Contact Sheet

- A listing of all the project staff with their respective titles is needed to show adequate personnel for the project, while an emergency contact sheet is of importance in the event of an emergency on the project.
- Among all the reviewed areas, this area is ranked top in compliance at 91%.
- Even with the top performance rate among all the reviewed areas, due to its importance of keeping a contact information sheet on file containing names and contact information for local agency/consultants/contractor will remain as an area of interest to observe in future reviews.

Area 11 Labor Compliance

- As described in Chapter 16 of the LAPM, the administering local agency is responsible to ensure that all labor compliance requirements are performed and documented in the project file.
- Along with posting the required federal jobsite posters, a proper check for payrolls in regards to hours/wage rates, deductions, or other actions should be more carefully performed to improve the compliance rate for the area.
- While rated as the third best conforming area, there should be a continuous effort from COEs to review this area for improvement and to reach the ultimate program goal.

General Observations

When evaluating the review areas for this report, it was necessary to group all the reviewed areas into two categories; one for the areas recognized by the OIG as in the previous reports and the other for the areas that are newly investigated for the first time in this report. The first group of the areas can be compared to the previously identified/reviewed areas while the latter of the groups starts forming a baseline for the future review process. Based on the compliance rate for each review area shown in Table 2, the average compliance rate for the first four-area group is found to be 78% as compared to 76% for the rest of the reviewed areas. Although the difference in these average compliance rates is not significant, it was somewhat anticipated since the areas in the first group have been constantly monitored and reviewed since the beginning of the ARRA in 2009.

In addition, it should be noted that out of 11 review areas, only two areas met the current set goal of the 85% compliance rate. Moreover, the current overall average compliance rate (77%) is significantly deviated from the 95% of the ultimate program goal. Therefore, a comprehensive and strategic plan needs to be developed and implemented coupled with continued efforts by the COEs in both project reviews and training for the local agencies. The areas of special interest should be focused on the following topics, as identified in this process review:

- Quality Assurance/Materials Testing
- Contract Change Orders (CCOs)
- Progress Payment Support
- Bid Evaluation
- Form FHWA 1273
- Sole Source Items
- Subcontracting Request

These areas that require special attention are selected because of their importance and relatively low compliance rates, which all fell below 80%.

E. Findings Summary

It has been observed that there are moderate improvements from a comparison between the above observations and the 2015 review performed by Caltrans DLA, in which identical areas of interest were reviewed. The quantitative findings show positive results in most of review areas (except two areas) from the comparison.



In addition to the areas compared to the previous reviews, seven other areas were included and assessed in this review. The compliance rates vary from 33% to 91% for these areas. Two of the areas are found to be above the program's current goal while the rest of them will need additional COE oversight and guidance for future improvement. The review also identified improvement opportunities in some of the local agencies' practices, which are addressed in the recommendations.

F. Recommendations

Several recommendations for moving forward to enhance the local agencies' competence level to conform to federal and state regulations are being developed by the Construction Oversight Program team. Developing a comprehensive plan to address the identified issues is also of importance, and working with FHWA to resolve the issues pertaining to specific areas with deficiencies is necessary. In addition, customized training, oversight, and assistance for the local agencies' needs may be required to significantly increase compliance. The following recommendations are suggested by the review team in some specific areas as follows:

Addressing Inquiries/Providing Feedback

One of general concurrences among all the COE team members is to continue to make an effort to resolve questions/issues of varying levels of complexity from local agencies and from Caltrans District staff, typically through telephone or email correspondence. In addition, providing feedback to local agencies for the findings of the process reviews including the results pertaining to specific projects is also suggested.

Providing Review and Concurrence

An increasing role in reviewing documents such as CCOs as requested by local agencies as well as Caltrans District staff may help local agencies improve compliance rates. The extent of the review is for proper justification, documentation, cost backup, and overall eligibility for federal participation. This review work often spawns follow-up documentation, discussion and direction from/to the local agencies and the districts.

Providing Training

Caltrans DLA has utilized the training courses such as the Resident Engineers (RE) academy and the Federal-Aid Series since 2013. For the same review period of this report, nine Federal-Aid Series and ten RE Academy trainings were conducted throughout the state. Along with these formalized training courses, conducting customized training sessions upon request of either individual agencies or Metropolitan Planning Organizations (MPOs) and Regional Transportation Planning Agencies (RTPAs) has been recommended. This has proven to be an excellent way of outreaching and networking with the local partners. The Construction Oversight Program Manager should develop an overall strategic training and outreach plan to provide continued support to the local agencies in this area.



Updating Local Assistance Procedure Manual (LAPM)

The major effort and focus of the COE team is the complete rewriting of Chapter 16, 'Administer Construction Contracts', of the Local Assistance Procedures Manual (LAPM). It is anticipated that this revised version will be published in January 2018.

Enhanced Participation/Involvement on 'Higher Significance' Projects

On an as-requested basis from FHWA, Caltrans District or HQ Local Assistance (DLA), Caltrans Audits and Investigations (A&I), local agencies, and/or the COEs should maintain a higher level of involvement or approval authority if and as appropriate for construction phase activities. This involvement may include an assessment of local agency qualifications, participation in periodic project meetings and reviews, and more formalized Change Order review and approval.

Assisting FHWA and Caltrans A&I on Reviews and Audits

As requested and as necessary, COEs have and should continue to make themselves available to accompany FHWA and/or Caltrans A&I at reviews and audits, and to provide construction-related input, consultation and follow up actions as appropriate.

Encouraging Local Agencies for More Active Involvement

Considering significant influences of the administering local agencies' roles, it is important to encourage the agencies to participate more in and have their functional teams on-board during development of the project's PS&E package and performance of construction activities. This will help streamline the contract time process in a most effective manner.



Attachment A

Construction Oversight Engineers District Assignments

Construction Oversight Engineers District Assignments



COE	Area
Osama Abu-Markhieh	D1, D2, D3
Moe Shakernia	North of D4
Siobhan Saunders	North of D5 & South of D4
Mike Giuliano	D6, D10, South of D5
Mohammad Pasebani	D7
Chad Yang	D8, D9
Anna Alonso	D11, D12



Attachment B

Checklist Questions



Checklist Questions

Item No	Item Description	Type of Construction Review		
		Pre-Construction	Mid-Construction	Post-Construction
1	Daily Diaries/Reports		E01 E02 (A,B,C,D,E) E03 E05 G04	E01 E02 (A,B,C,D,E) E03 E05 G04
2	Quality Assurance/ Materials Testing		F11 F12 F14 F23 F24 (A,B,C,D)	F11 F12 F14 F23 F24 (A,B,C,D)
3	Contract Change Orders (CCOs)		G01 G02 G03 G04 G05 G07	G01 G02 G03 G04 G05 G07
4	Progress Payment Support		H02 H03 H04 H05 H06 H07	H02 H03 H04 H05 H06 H07
5	Bid Evaluation	C05		
6	Form FHWA 1273	C03	I02	I02
7	Sole Source Items	C17 C20		
8	Contract Time		D05 D09 G06	D03 D04 D05 D08 D10
9	Subcontracting Request		J05	J05
10	Project Staff/ Emergency Contact Sheet		B06 B07 B08	B06 B07 B08
11	Labor Compliance		I06 I07 I08	I06 I07 I08

Note: Questions listed in the table above are highlighted (in yellow) in Attachments C, D, and E (Construction Review Checklists).



Attachment C

Pre-Construction Review Checklist



Pre-Construction Review Checklist

Division of Local Assistance

Pre-Construction Review Checklist

Review Type: Pre-Construction

A. PROJECT INFORMATION

01. Federal Aid Project No.:		Date of Review	
02. District:			
03. Agency:			
04. Project Description:			
05. Project Location:			
	County:		
	City:		
	Street(s):		
06. Project Type:			
07. Funding Source(s):			
08. Caltrans Reviewer(s):			
09. Caltrans Construction Oversight Engineer:			
10. Caltrans DLAE:			
11. FHWA Participant(s) (if applicable):			
12. Local Agency Participant(s):			

B. PROJECT STAFFING

01. Local Agency Employee in Responsible Charge of Project:	
02. Project Resident Engineer (RE):	Does RE Work For:
Dane Schilling	Local Agency Consultant
03. Is RE a licensed PE?	If yes, PE License No
04. If not, who is the licensed PE who delegated this responsibility?	
05. If RE is a consultant, name of consultant firm:	
06. Prime Contractor:	

C. CONTRACT INFORMATION

FHWA Construction Authorization (E-76) Date:	
Engineer's Estimate Amount (Bid Items Only):	
Alternative Contracting Method?	
(If yes, what method? (design-build, cost-plus-time (A+B), etc.)	
Advertising Date:	Bid Opening Date:
Low Bid Amount:	High Bid Amount:
Contract Award Amount:	Percent Award over/under Engineer's Estimate:
No. of Bids:	No. of competitive bids (No. of bids w/in 20% of low bid):
Contract Time:	Standard Working Days
Notice to Proceed Date:	Estimated Date of First Working Day:
Estimated Completion Date:	
01. Has the agency sent Caltrans the notice to proceed letter?	
02. Has the agency sent Caltrans the award package?	
03. Has the FHWA-1273 contract provisions form physically attached to the prime-contractor signed construction contract?	
04. Has the applicable federal minimum wage rates physically attached to the prime-contractor signed construction contract?	
05. Did the agency perform, document, and file a bid analysis prior to project award? (Written justifications for projects where low est responsible bidder exceed engineer estimate by 10% or more)	



06. If the lowest responsible bidder exceeds the engineer's estimate by 10% or more, is written justification on file? ☐
07. Is Local Agency Bidder DBE Commitments (Form 15-G) on file? ☐
08. Is DBE Evaluation of GFE (Exhibit 9-E) on file? (Required when contract DBE goal is not met) ☐
09. Does the approved project PS&E include a TMP/TTC plan or provisions for the contractor to develop a plan? (TTC for projects that have less than significant work zone impacts) ☐
10. Does the contract specify that the prime contractor must perform work equaling at least 30% of total bid? ☐
- option selected on Exhibit 9-B, Local Agency DBE Annual Submittal Form?
12. Is the project Environmental Commitment Record (ECR) in the files? ☐
13. Are liquidated damage provisions included in the contract? ☐
14. If yes, what is the dollar amount of liquidated damages per day? ☐
15. Does the project contain incentive/disincentive provisions? ☐
16. Are there any local agency furnished materials for this contract? ☐
17. If yes, has the local agency included a public interest finding (PIF) in the project records covering each local agency furnished material? ☐
18. Where local agency furnished materials are used, has the local agency provided documentation showing a competitive process was used for procuring those materials? ☐
19. Does the contract contain any sole source items? ☐
20. If yes, has the local agency included a PIF in the project records covering each sole source ☐
21. Will the local agency be using consultant contract for contract administration, materials testing, ☐
22. Where consultant contracts will be utilized for the construction phase, identify the following information:

Consultant Service	Consultant Company	Contract Type	Consultant Selection

23. Comments:

D. WORK STATUS:

Review taking place prior to first working day?	<input type="checkbox"/>
If not, Percent work complete (\$)	<input type="checkbox"/> & percent time complete
Pre-bid meeting held	<input type="checkbox"/> Mandatory or Optional
Preconstruction conference held or to be held	<input type="checkbox"/>
Estimated or actual date of preconstruction conference	<input type="checkbox"/>
Review of applicable detailed mid-project and after-acceptance project survey questions with resident	<input type="checkbox"/>
Mid-project review scheduled date:	<input type="checkbox"/>



Follow up items for significant deficiencies:

Deficiency Description	Course of Action	Action Dates

Local Agency Contact:

Local Agency Contact Phone Number:

E. SUMMARY

--



Attachment D

Mid-Construction Review Checklist



Mid-Construction Review Checklist

Division of Local Assistance Mid-project Review Checklist			
Review Type: Mid-project		Date of Review: <input type="text"/>	
A. PROJECT INFORMATION			
1.	Federal Aid Project No.	<input type="text"/>	
2.	District:	<input type="text"/>	
3.	Agency:	<input type="text"/>	
4.	Project Description:	<input type="text"/>	
5.	Project Location:	<input type="text"/>	
	County:	<input type="text"/>	
	City:	<input type="text"/>	
	Street(s):	<input type="text"/>	
6.	Project Type:	<input type="text"/>	
7.	Funding Source(s):	<input type="text"/>	
8.	Caltrans Reviewer(s):	<input type="text"/>	
9.	Caltrans Construction Oversight Engineer:	<input type="text"/>	
10.	Caltrans DLAE:	<input type="text"/>	
11.	FHWA Participant(s) (if applicable)	<input type="text"/>	
12.	Local Agency Participant(s):	<input type="text"/>	
13.	Contract Award Amount:	<input type="text"/>	
B. PROJECT STAFFING			
1.	Local Agency Employee in Responsible Charge of Project:	<input type="text"/>	
2.	Project Resident Engineer (RE):	<input type="text"/>	
	Does RE Work For	Local Agency	<input type="text"/>
		Consultant	<input type="text"/>
3.	Is RE a licensed PE?	<input type="text"/>	If yes, PE License No: <input type="text"/>
4.	if not, who is the licensed pe who delegated this responsibility?	<input type="text"/>	
5.	If RE is a consultant, name of consultant firm:	<input type="text"/>	
6.	Is there a listing of all project staff with their respective titles on file?	<input type="text"/>	
7.	Is the project adequately staffed?	<input type="text"/>	
8.	Is there an emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? This is typically a contact list of key personnel to be contacted in the event of an emergency on the project (e.g. traffic accident). This form is typically shared with fire, police and other emergency groups as necessary.	<input type="text"/>	
9.	Comments:	<input type="text"/>	



C. GENERAL PROJECT RECORDS

1. Are project records being kept in an organized manner with an index that describes each file category?

2. Are there sufficient categories to organize all required project documents?

3. Comments:

D. PROJECT STATUS AND CONTRACT TIME

1. Has the project begun active construction operations?

2. What is the original number of contract working days?

3. Is this duration in working days (WD) or calendar days (CD) ?

4. What is the percent dollars complete? Percent time complete?

5. Does the agency utilize the weekly statement of working days or other acceptable method of tracking contract time?

6. What was the date of the first working day?

7. What is the original contract completion date?

8. What is the current contract completion date?

Non-Working Days to date

Approved CCO days to date

Contract Suspension days to date

9. Is the controlling operation of work clearly noted on the WSWD?

10. Has the agency copied Caltrans with the notice to proceed letter?

11. Has the agency sent the award package to Caltrans?

12. Comments:

E. RESIDENT ENGINEER REPORTS AND ASSISTANT RESIDENT ENGINEER DAILY DIARIES (REPORTS)

1. Are daily reports up-to-date? [i.e. no more than a week gap]

2. Do daily reports contain the following information?

Full names of labor force

Identify employer (prime contractor vs. subcontractor)

Labor classifications

Equipment types and model numbers

Breakdown of hours worked by contract item and CCO work

Idle or down time

3. Do daily reports adequately capture daily occurrences, locations of work, overall operations, work performed in the field, and significant conversations with the contractor?

4. Do the daily reports clearly identify the author and when developed (e.g. author's printed name, author's signature and date)?

5. Are resident engineer (RE) diaries up-to-date (either daily or weekly)?

6. Comments:



F. QUALITY ASSURANCE PROGRAM / MATERIALS TESTING									
1. Does the local agency have a copy of their QAP in the project records?									
2. Is the approval date on the qap less than 5 years old?									
3. Does the qap for this contract contain acceptance testing frequency tables?									
4. If so, have these frequency tables been modified from the caltrans sample qap?									
5. Which test methods do the contract documents specify? (CT/ASTM/AASHTO/Other)									
6. Are there acceptance sampling and test record data sheets in the project files?									
7. Based on the contract work and the QAP, what tests have been (or will be) performed?									
8. What entity is performing the acceptance testing on this project?									
9. Is there a log of acceptance testing results in the project files?									
10. Is the acceptance testing conforming to the frequency requirements of the QAP?									
11. Are copies of up-to-date acceptance testers certifications in the project files?									
12. If using ct methods, have the acceptance testers been certified by Caltrans?									
13. If using other test methods (ASTM, etc...), have the acceptance testers been certified?									
If so, by whom?									
14. Is the materials laboratory's current certification/accreditation in the project files?									
15. Is the acceptance testing being coordinated with and monitored by the RE/inspector?									
16. Does the RE/Inspector see copies of the test results in a timely manner (within 3 days)?									
17. If there are failing tests, are there corresponding passing tests or resolution explanation?									
18. Do the project records contain copies of mix designs and their formal approvals?									
19. Are delivery tickets/load slips being collected and initialed at the time and point of delivery?									
20. Do delivery tickets/load slips contain a product or mix identification number that corresponds to the approved mix design?									
21. Are deductions being taken for waste, rejected loads, or unused material in the last load?									
22. Are there any materials to be accepted into the project via source inspection?									
23. Do materials certificates of compliance contain the following necessary information?									
Project id or number?									
Specific lot number?									
Citation of spec no.'s in compliance with?									
Signature by manufacturer?									
24. Are the required buy america statements/certifications included in certificates of compliance for iron and steel incorporated into the work?									
25. Comments:									



G. CONTRACT CHANGE ORDERS

1. Is there a log of all contract change orders (CCO's) on file?
2. Are all CCO's properly justified via documentation that shows the reason for the change?
3. If any of the change orders were paid at an agreed lump sum or at agreed unit price(s), are there records on file supporting the establishment of those lump sum agreed prices (e.g. independent cost estimate by agency, force account analysis)?
4. If any of the change orders were written and paid for at force account (time and materials), do the daily re/inspector reports provide sufficient detail to support the payment of time and materials on the related change order work?
5. If any of the change orders adjusted the unit bid price (adjustment in compensation) of an item or items, is there a force account cost analysis to adequately support the adjustment(s)?
6. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. a time impact analysis)?
7. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or specifications been stamped by a professional engineer with a valid California PE license?
8. Were all contract change orders approved prior to beginning work on the contract change orders?
9. If not,
 - A. Was the agency's prior authorization process followed and documented?
 - B. Was the contractor given written authorization to proceed with the work?
 - C. Was the change order ultimately approved in a timely manner?
10. Is the local agency monitoring authorized contract change order amounts versus available contingency balances?

11. Comments:

H. PROJECT PAYMENTS

1. Has the local agency processed a progress payment to the contractor on this contract?
2. If so, does the progress payment provide suitable backup/documentation to support quantities and dollars amounts paid for contract item work and change order work (ie. quantity calc sheets, quantity notations in daily reports/diaries, etc...)?
3. Are there separate quantity calculation sheets for each item being paid on each progress
4. Does each quantity calc sheet identify the specific portion of the work to which it applies (location information, stations/offsets, etc...)?
5. Does each quantity calc sheet include the measurements and calculations by which the quantity was determined?)
6. Are quantity calc sheets signed and dated?
7. Are quantity calc sheets being checked by a separate individual?
8. Are quantities paid to date being monitored and checked against estimated quantities?

9. Comments:



I. LABOR COMPLIANCE AND EEO

1. Are federal (US Department of Labor) wage rates physically included in the signed contract?
2. Is FHWA Form 1273 physically included in the signed contract?
3. Did the agency check (at ten days before bid opening) to see if the wage rates changed from when the project was first advertised?
4. Have any payrolls been received from the contractor as of yet?
5. Are payrolls properly certified (wet ink signature, statements) by the contractor/subcontractor ?
6. Are payrolls spot-checked for proper hours/wage rates, and initialed by the checker?
7. Are required federal jobsite posters (<http://fhwa.dot.ca.gov/programadmin/contracts/poster.cfm>) in good shape and posted in plain view of workers ?
8. are employee interviews (Ex 16-N of LAPM) being conducted at an acceptable frequency?
9. Do the employee interviews include the appropriate signatures and dates?

10. Comments:

J. DBE

1. Who is the local agency's labor compliance/dbe officer?
2. What is the dbe goal for this contract? (%)
3. What is the contractor's dbe commitment for this contract? (% in Exhibit 15-G))
4. If the contractor did not meet the goal for this contract, was a good faith effort (GFE) analysis performed by the agency and is a copy filed in the project records?
5. Has the prime contractor submitted and the resident engineer approved the subcontracting request form (Ex 16-B of the LAPM) prior to any subcontractor work being performed?
6. If dbe trucking is part of the dbe commitment for this project, are the contractor's monthly dbe trucking verification forms on file?
7. Has the contractor utilized all of the listed dbe subcontractors on this project?
8. If not, are the contractor's substitution request and the agency's approval on file?
9. Have any contract change orders affected the amount of dbe work?

10. Comments:

K. TRAINEES (APPRENTICES)

1. Are training (apprentices) provisions a part of this contract?
2. If so, what is the goal (number of trainees) for this contract?
3. If a goal, is the contractor's submitted training plan and agency approval on file?
4. Does the plan include the following?
 - A. The number of apprentices for each classification?
 - B. The starting date for each apprentice?
 - C. The apprentice's registration in an approved program ?

5. Comments:



L. ENVIRONMENTAL COMMITMENTS

1. Is the environmental document for this project on file?
2. Is the construction project adhering to mitigation requirements in the environmental document?
3. Is the environmental commitment record (ECR) contained in the project files?

4. Comments:

M. TRAFFIC MANAGEMENT PLAN

1. Does the approved PS&E include a traffic management plan (TMP) or does it contain provisions for the contractor to develop/submit the TMP? (PS&E/C)
2. If the traffic management plan is contractor-submitted, is a formal agency approval contained in the project files?
3. Are the traffic management plan requirements being followed?

4. Comments:

After-acceptance review scheduled date (estimated):

Follow up items for significant deficiencies:

Deficiency description	Course of action	Action dates

**Additional Items for Bridge Projects:****Concrete Records:**

1. Are all approved concrete mixes on file?
2. Are all letters of concrete mix approvals on file?
3. Are samples and testing notations included on pour records or diaries?
4. Comments:

Bridge CCOs:

1. For bridge design changes, has the bridge designer authorized the change?
2. Comments:

Approved Falsework Plans:

1. Is there a falsework log on file showing falsework submittal history?
2. Are the falsework plans properly stamped?
3. Do the falsework plans include erection and stripping operations?
4. Are the falsework calculations on file and complete?
5. Are there records of camber and falsework deflection calculations performed by a registered engineer?
6. Are there records of falsework soffit and deck grades supplied to the contractor by the Engineer, which accommodate falsework settlements and deflections and bridge camber requirements?
7. Is there a letter from the contractor certifying that the erected falsework substantially meets approved falsework plans dated prior to concrete pours of bridge soffit and deck?
8. Are there any records of observed falsework settlement during and after the concrete pour?
9. Comments:

Prestressing:

1. Are the initial shop drawings for prestressing (submitted by the contractor) on file?
2. Are the initial plans properly stamped?
3. Is the final set of shop drawings for prestressing on file?
4. Are the final plans properly stamped?
5. Is there a record in the diaries to indicate that the prestressing ducts were checked for any obstruction after the soffit/deck pours and prior to placing the strand?
6. Are there records of actual prestressing in the file?
7. Are there records indicating the contractor's pressure gauges and jack(s) were certified and valid at time of stressing?
8. Is there proper documentation of both i) actual strand elongation vs. theoretical elongation and ii) load cell readings vs. contractor gauge readings?
9. Do the records show grouting was performed and include a copy of the certificate of compliance for the cement used?
10. Comments:



1. Are there records showing profilographs were taken before and after deck grinding?	
2. Are all the profilograph records on file?	
3. Comments:	

1. Are the shoring plans properly stamped?	
2. Do the project records include complete shoring calculations?	
3. Comments:	

1. Does the contract require the contractor to have a Quality Control Plan for welding?	
2. If yes, is the contractor's welding Quality Control Plan on file?	
3. Comments:	

[illegible]



Attachment E

Post-Construction Review Checklist



Post-Construction Review Checklist

Division of Local Assistance Post-Construction Review Checklist

Review Type: Post-Construction

Date of Review:

A. PROJECT INFORMATION

1. Federal aid project No.:

2. District:

3. Agency:

4. Project description:

5. Project Location:

County:

City:

Street(s):

6. Project type:

7. Funding source(s):

8. Caltrans Reviewer(s):

9. Caltrans Construction Oversight Engineer:

10. Caltrans DLAE:

11. FHWA participant(s) (if applicable):

12. Local agency participant(s):

13. Contract award amount:

B. PROJECT STAFFING

1. Local agency employee in responsible charge of project:

2. Project resident engineer (RE):

Does RE work for

Local Agency

Consultant

3. Is RE a licensed PE?

If yes, PE License No:

4. If not, who is the licensed pe who delegated this responsibility?

5. If RE is a consultant, name of consultant firm:

6. Is there a listing of all project staff with their respective titles on file?

7. Is the Project Adequately Staffed?

8. Is there an emergency contact information sheet on file containing names and contact information for local agency/consultants/contractor? This is typically a contact list of key personnel to be contacted in the event of an emergency on the project (e.g. traffic accident). This form is typically shared with fire, police and other emergency groups as necessary.

9. Comments:



C. GENERAL PROJECT RECORDS

1. Are project records being kept in an organized manner with an index that describes each file category?
2. Are there sufficient categories to organize all required project documents?
3. Comments:

D. PROJECT STATUS AND CONTRACT TIME

1. What was the original number of contract working days?
2. Was this duration in working days (WD) or calendar days (CD) ?
3. Did the agency utilize the weekly statement of working days (WSWD) or other acceptable method of tracking contract time?
4. Was the controlling operation of work clearly noted on the WSWD?
5. Is the final wswd (or other contract time document) on file?
6. What was the date of the first working day?
7. What was the date the project was accepted (the final working day)?
8. Did the contract overrun the original number of days?
9. Were contract time extensions (number of days) granted?
- | | | |
|------------------|------------------------------|----------------------|
| If YES, How Many | Non-Working Days | <input type="text"/> |
| | CCO Additional Days | <input type="text"/> |
| | Overall Contract Suspensions | <input type="text"/> |
10. Is there adequate written documentation on file to support the additional time granted?
11. Comments:

E. RESIDENT ENGINEER REPORTS AND ASSISTANT RESIDENT ENGINEER DAILY DIARIES (REPORTS)

1. Are daily reports up-to-date? [i.e. no more than a week gap]
2. Do daily reports contain the following information?
- | | |
|---|----------------------|
| Full names of labor force | <input type="text"/> |
| Identify employer (prime contractor vs. subcontractor) | <input type="text"/> |
| Labor classifications | <input type="text"/> |
| Equipment types and model numbers | <input type="text"/> |
| Breakdown of hours worked by contract item and cco work | <input type="text"/> |
| Idle or down time | <input type="text"/> |
3. Do daily reports adequately capture daily occurrences, locations of work, overall operations, work performed in the field, and significant conversations with the contractor?
4. Do the daily reports clearly identify the author and when developed (e.g. author's printed name, author's signature and date)?
5. Are resident engineer (re) diaries up-to-date (either daily or weekly)?
6. Comments:



F. QUALITY ASSURANCE PROGRAM / MATERIALS TESTING									
1. Does the local agency have a copy of their QAP in the project records?									
2. Is the approval date on the qap less than 5 years old?									
3. Does the QAP for this contract contain acceptance testing frequency tables?									
4. If so, have these frequency tables been modified from the caltrans sample QAP?									
5. Which test methods do the contract documents specify? (CT/ASTM/AASHTO/Other)									
6. Are there acceptance sampling and test record data sheets in the project files?									
7. Based on the contract work and the qap, what tests were performed?									
8. What entity performed the acceptance testing on this project?									
9. Is there a log of acceptance testing results in the project files?									
10. Did the acceptance testing conform to the frequency requirements of the QAP?									
11. Are copies of up-to-date acceptance testers certifications in the project files?									
12. If using CT methods, were the acceptance testers certified by Caltrans?									
13. If using other test methods (ASTM, etc...), were the acceptance testers certified?									
If so, by whom?									
14. Is the materials laboratory's current certification/accreditation in the project files?									
15. Was the acceptance testing coordinated with and monitored by the RE/Inspector?									
16. Did the re/inspector see copies of the test results in a timely manner (within 3 days)?									
17. If there were failing tests, were there corresponding passing tests or resolution explanation?									
18. Do the project records contain copies of mix designs and their formal approvals?									
19. Were delivery tickets/load slips being collected and initialed at the time and point of delivery?									
20. Do delivery tickets/load slips contain a product or mix identification number that corresponds to the approved mix design?									
21. Were deductions taken for waste, rejected loads, or unused material in the last load?									
22. Were there any materials accepted into the project via source inspection?									
23. Do materials certificates of compliance contain the following necessary information?									
Project ID or number?									
Specific lot number?									
Citation of spec No.'s in compliance with?									
Signature by manufacturer?									
24. Are the required buy america statements/certifications included in certificates of compliance for iron and steel incorporated into the work?									
25. Is the materials certificate (Exhibit 17-G of the LAPM) signed and on file?									
26. Comments:									



G. CONTRACT CHANGE ORDERS

- | | |
|---|--|
| 1. Is there a log of all contract change orders (CCO's) on file? | |
| 2. Are all CCO's properly justified via documentation that shows the reason for the change? | |
| 3. If any of the change orders were paid at an agreed lump sum or at agreed unit price(s), are there records on file supporting the establishment of those lump sum agreed prices (e.g. independent cost estimate by agency, force account analysis)? | |
| 4. If any of the change orders were written and paid for at force account (time and materials), do the daily re/inspector reports provide sufficient detail to support the payment of time and materials on the related change order work? | |
| 5. If any of the change orders adjusted the unit bid price (adjustment in compensation) of an item or items, is there a force account cost analysis to adequately support the adjustment(s)? | |
| 6. If any of the change orders provide a contract time adjustment, are there records on file supporting the time adjustment (e.g. a time impact analysis)? | |
| 7. If any of the change orders contain revised or new engineering drawings or specifications, have the change order drawings or specifications been stamped by a professional engineer with a valid California PE license? | |
| 8. Were all contract change orders approved prior to beginning work on the contract change | |
| 9. If not, | |
| A. Was the agency's prior authorization process followed and documented? | |
| B. Was the contractor given written authorization to proceed with the work? | |
| C. Was the change order ultimately approved in a timely manner? | |
| 10. Is the local agency monitoring authorized contract change order amounts versus available contingency balances? | |
| 11. Comments: | |

H. PROJECT PAYMENTS

- | | |
|--|--|
| 1. Do progress payments provide suitable backup/documentation to support quantities and dollars amounts paid for contract item work and change order work (ie. quantity calc sheets, quantity notations in daily reports/diaries, etc...)? | |
| 2. Are there separate quantity calculation sheets for each item being paid on each progress payment? | |
| 3. Does each quantity calc sheet identify the specific portion of the work to which it applies (location information, stations/offsets, etc...)? | |
| 4. Does each quantity calc sheet include the measurements and calculations by which the quantity was determined?) | |
| 5. Are quantity calc sheets signed and dated? | |
| 6. Are quantity calc sheets being checked by a separate individual? | |
| 7. Are quantities paid to date being monitored and checked against estimated quantities? | |

8. Comments:



I. LABOR COMPLIANCE AND EEO

1. Were federal (US Department of Labor) wage rates physically included in the signed contract?
2. Is FHWA Form 1273 physically included in the signed contract?
3. Did the agency check (at least 30 days before bid opening) to see if the wage rates changed from when the project was first advertised?
4. Were all payrolls received for all covered work from the prime and the subcontractors?
5. Are payrolls properly certified (wet ink signature, statements) by the contractor/subcontractor?
6. Were payrolls spot-checked for proper hours/wage rates, and initialed by the checker?
7. Were proper deductions or other actions taken for missing or uncorrected payrolls?
8. Were required federal jobsite posters (<http://fhwa.dot.ca.gov/programadmin/contracts/poster.cfm>) in good shape and posted in plain view?
9. Were employee interviews (Ex 16-N of LAPM) being conducted at an acceptable frequency?
10. Do the employee interviews include the appropriate signatures and dates?

11. Comments:

J. DBE

1. Who is the local agency's labor compliance/dbe officer?
2. What was the dbe goal for this contract? (%)
3. What was the contractor's dbe commitment for this contract? (% in exhibit 15-g))
4. If the contractor did not meet the goal for this contract, was a Good Faith Effort (GFE) analysis performed by the agency and is a copy filed in the project records?
5. Did the prime contractor submit and the Resident Engineer approve the Subcontracting Request Form (Exh 16-B of the LAPM) prior to any subcontractor work being performed?
6. If DBE trucking was part of the DBE commitment for this project, are the contractor's monthly DBE trucking verification forms on file?
7. Did the contractor utilize all of the listed DBE subcontractors on this project?
8. If not, are the contractor's substitution request and the agency's approval on file?
9. Did any contract change orders affect the amount of DBE work?
10. Did the contractor submit the final report of DBE utilization (exhibit 17-f of the LAPM)?
11. Did the RE review and sign the above exhibit 17-F?
12. Did the prime contractor fulfill his original DBE commitment (per exhibit 15-G)?
13. If no (question 12), is a valid explanation/justification provided in the project file?
14. If no (question 12), was payment for the committed to DBE work withheld?
15. Comments:

K. TRAINEES (APPRENTICES)

1. Are training (apprentices) provisions a part of this contract?
2. If so, what is the goal (number of trainees) for this contract?
3. If a goal, is the contractor's submitted training plan and agency approval on file?
4. Does the plan include the following?
 - A. The number of apprentices for each classification?
 - B. The starting date for each apprentice?
 - C. The apprentice's registration in an approved program?

5. Comments:



L. ENVIRONMENTAL COMMITMENTS

1. Is the environmental document for this project on file?

2. Were all environmental mitigation commitments met and documented in the environmental commitment record (ECR) and in the project file?

3. Comments:

M. TRAFFIC MANAGEMENT PLAN

1. Does the approved PS&E include a traffic management plan (TMP) or does it contain provisions for the contractor to develop/submit the TMP? (PS&E/C)

2. If the traffic management plan is contractor-submitted, is a formal agency approval contained in the project files?

3. Are the traffic management plan requirements being followed?

4. Comments:

After-acceptance review scheduled date (estimated):

Follow up items for significant deficiencies:

Deficiency description	Course of action	Action dates

**Additional Items for Bridge Projects:****Concrete Records:**

- | | |
|---|--|
| 1. Are all approved concrete mixes on file? | |
| 2. Are all letters of concrete mix approvals on file? | |
| 3. Are samples and testing notations included on pour records or diaries? | |
| 4. Comments: | |

Bridge CCOs:

- | | |
|--|--|
| 1. For bridge design changes, has the bridge designer authorized the change? | |
| 2. Comments: | |

Approved Falsework Plans:

- | | |
|--|--|
| 1. Is there a falsework log on file showing falsework submittal history? | |
| 2. Are the falsework plans properly stamped? | |
| 3. Do the falsework plans include erection and stripping operations? | |
| 4. Are the falsework calculations on file and complete? | |
| 5. Are there records of camber and falsework deflection calculations performed by a registered engineer? | |
| 6. Are there records of falsework soffit and deck grades supplied to the contractor by the Engineer, which accommodate falsework settlements and deflections and bridge camber requirements? | |
| 7. Is there a letter from the contractor certifying that the erected falsework substantially meets approved falsework plans dated prior to concrete pours of bridge soffit and deck? | |
| 8. Are there any records of observed falsework settlement during and after the concrete pour? | |
| 9. Comments: | |

Prestressing:

- | | |
|---|--|
| 1. Are the initial shop drawings for prestressing (submitted by the contractor) on file? | |
| 2. Are the initial plans properly stamped? | |
| 3. Is the final set of shop drawings for prestressing on file? | |
| 4. Are the final plans properly stamped? | |
| 5. Is there a record in the diaries to indicate that the prestressing ducts were checked for any obstruction after the soffit/deck pours and prior to placing the strand? | |
| 6. Are there records of actual prestressing in the file? | |
| 7. Are there records indicating the contractor's pressure gauges and jack(s) were certified and valid at time of stressing? | |
| 8. Is there proper documentation of both i) actual strand elongation vs. theoretical elongation and ii) load cell readings vs. contractor gauge readings? | |
| 9. Do the records show grouting was performed and include a copy of the certificate of compliance for the cement used? | |
| 10. Comments: | |



Profilographs (if there is a new bridge deck or if the existing bridge deck has been modified and finish surface requirements are included in the contract):

1. Are there records showing profilographs were taken before and after deck grinding?	
2. Are all the profilograph records on file?	
3. Comments:	

Shoring Plans (if there is/was shoring on the project):

1. Are the shoring plans properly stamped?	
2. Do the project records include complete shoring calculations?	
3. Comments:	

Welding (if there is welding in the contract)

1. Does the contract require the contractor to have a Quality Control Plan for welding?	
2. If yes, is the contractor's welding Quality Control Plan on file?	
3. Comments:	

Summary

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